

AMENDMENTS TO THE CLAIMS

This listing of claims will replace all prior versions, and listings, of claims in the application:

Listing of Claims

1. (Currently Amended) A processor-implemented method for the facilitation of ~~facilitating~~ monitoring of a financial transaction for one or more indications of insider trading, the method comprising:

receiving digital information related to pre-clearance of a ~~one or more~~ financial transaction ~~transactions~~ into a storage medium of a computer device;

processing the ~~digital~~ received information by applying insider trading rules to determine whether the ~~one or more~~ financial ~~transactions~~ transaction would violate the insider trading rules;

generating a risk quotient based on the processed information, wherein the risk quotient is indicative of a quantitative amount of insider trading risk (ITR) associated with the financial transaction and determining whether execution of the financial transaction violates the applied insider trading rules ; and

~~generating an indication that execution of the financial transaction is in violation of one or more of the insider trading rules; and~~

providing a financial transaction pre-clearance report including the generated risk quotient and any determined the indications of violations of the insider trading rules that would occur if the financial transaction was executed.

2.(Original) The method of claim 1 wherein the digital information received comprises supporting documentation for the transactions.

3. (Currently Amended) The method of claim 1 wherein the indication of [[an]] the amount of insider trading risk comprises a normal range of risk and an elevated level ~~amount~~ of risk and the method additionally comprising the steps of:

determining a particular legal violation associated with [[an]] the elevated level of risk;
and

generating an action responsive to the particular legal violation.

4. (Original) The method of claim 1 wherein the method additionally comprises the step of transmitting an indication to block execution of the one or more financial transactions.

5. (Original) The method of claim 1 wherein the method additionally comprises the step of notifying a legal authority involved in enforcing insider trading laws of a potential violation of a law related to the execution of the financial transaction.

6. (Original) The method of claim 1, wherein the digital information is received from at least one of: (i) a bank, (ii) a broker dealer, and (iii) a national trading exchange.

7. (Original) The method of claim 1 additionally comprising the steps of:

analyzing the digital information received into storage for patterns of behavior indicative of insider trading; and

automatically generating a suggested action based upon the data.

8.(Original) The method of claim 7 wherein the suggested action comprises conveying an insider trading report to a government entity.

9.(Original) The method of claim 7 wherein the suggested action comprises initiating a risk management clearinghouse search.

10.(Original) The method of claim 7 wherein the suggested action comprises monitoring an associated account for a pattern of activity that may be indicative of a violation of an insider trading law.

11.(Original) The method of claim 7 wherein the suggested action comprises monitoring actions taken by an entity associated with the financial transaction for a pattern of activity that may be indicative of a violation of an insider trading law.

12.(Currently Amended) The method of claim 7 wherein the suggested action comprises refusing to perform ~~a requested~~ the financial transaction.

13.(Original) The method of claim 7 wherein the suggested action comprises closing an account associated with the financial transaction.

14.(Original) The method of claim 7 wherein the suggested action comprises generating an insider trading report comprising details of the financial transaction and transmitting the report to a trading exchange associated with the financial transaction.

15.(Original) The method of claim 14 wherein the insider trading report is transmitted via electronic mail.

16.(Original) The method of claim 14 additionally comprising the steps of:

storing a record of the date and time of the transmission; and

storing a record of a destination of the transmission.

17.(Original) The method of claim 1 additionally comprising the step of securing the data comprising the insider trading report with at least one of: (i) encrypting the data, (ii) password protecting the data, (iii) protecting the data with a biometric access procedure, and (iv) refusing to disclose the data except where such disclosure is requested by an appropriate law enforcement or bank supervisory agency.

18.-21.(Canceled)